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PTO/SB/05 (11-00)  
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12/15/00  
1c760 U.S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 537-1038  
First Inventor Alan Robinson  
Title Optical Fiber Amplifier  
Express Mail Label No. EL 700 384 385 US

63666160  
PTO  
U.S. PATENT  
OFFICE

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.

3. ☒ Specification [Total Pages 11]  
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]

5. Oath or Declaration

a. ☐ Newly executed (original or copy)

b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)

c. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☐ paper

c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16. ☒ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.

17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_ / \_\_\_\_\_

Prior application information

Examiner

Group / Art Unit

For CONTINUING OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by  
reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name William M. Lee, Jr.  
Address LEE, MANN, SMITH, MCWILLIAMS, SWEENEY & OHLSON  
P.O. Box 2786  
City Chicago State Illinois Zip Code 60690-2786  
Country U.S.A. Telephone (312)368-1300 Fax (312)368-0034

Name (Print/Type) William M. Lee, Jr.

Registration No. (Attorney/Agent) 26,935

Signature

William M. Lee, Jr.

Date 12/15/00

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Patent Application, Washington, DC 20231

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

## Complete if Known

|                      |               |
|----------------------|---------------|
| Application Number   |               |
| Filing Date          |               |
| First Named Inventor | Alan Robinson |
| Examiner Name        |               |
| Group Art Unit       |               |
| Attorney Docket No.  | 537-1038      |

TOTAL AMOUNT OF PAYMENT

\$870.00



### METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit  
Account  
Number

12-0913

Deposit  
Account  
Name

Lee, Mann, Smith, McWilliams,...

- ☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status  
See 37 CFR § 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|----------|----------|----------|----------|-----------------|----------|
|----------|----------|----------|----------|-----------------|----------|

|     |     |     |     |                        |        |
|-----|-----|-----|-----|------------------------|--------|
| 101 | 710 | 201 | 355 | Utility filing fee     | 710.00 |
| 106 | 320 | 206 | 160 | Design filing fee      |        |
| 107 | 490 | 207 | 245 | Plant filing fee       |        |
| 108 | 710 | 208 | 355 | Reissue filing fee     |        |
| 114 | 150 | 214 | 75  | Provisional filing fee |        |

SUBTOTAL (1) \$710.00

#### 2. EXTRA CLAIM FEES

| Extra Claims       |              | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Total Claims       | 9 - 20** = 0 | X              | 0.00     |
| Independent Claims | 5 - 3** = 2  | X              | 160.00   |
| Multiple Dependent |              |                |          |

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|----------|----------|----------|----------|-----------------|
|----------|----------|----------|----------|-----------------|

|     |     |     |     |                                                            |
|-----|-----|-----|-----|------------------------------------------------------------|
| 103 | 18  | 203 | 9   | Claims in excess of 20                                     |
| 102 | 80  | 202 | 40  | Independent claims in excess of 3                          |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid                      |
| 109 | 80  | 209 | 40  | ** Reissue independent claims over original patent         |
| 110 | 18  | 210 | 9   | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$160.00

\*\*or number previously paid, if greater, For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description                                                            | Fee Paid |
|----------|----------|----------|----------|----------------------------------------------------------------------------|----------|
| 105      | 130      | 205      | 65       | Surcharge - late filing fee or oath                                        |          |
| 127      | 50       | 227      | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139      | 130      | 139      | 130      | Non - English specification                                                |          |
| 147      | 2,520    | 147      | 2,520    | For filing a request for ex parte reexamination                            |          |
| 112      | 920*     | 112      | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113      | 1,840*   | 113      | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115      | 110      | 215      | 55       | Extension for reply within first month                                     |          |
| 116      | 390      | 216      | 195      | Extension for reply within second month                                    |          |
| 117      | 890      | 217      | 445      | Extension for reply within third month                                     |          |
| 118      | 1,390    | 218      | 695      | Extension for reply within fourth month                                    |          |
| 128      | 1,890    | 228      | 945      | Extension for reply within fifth month                                     |          |
| 119      | 310      | 219      | 155      | Notice of Appeal                                                           |          |
| 120      | 310      | 220      | 155      | Filing a brief in support of an appeal                                     |          |
| 121      | 270      | 221      | 135      | Request for oral hearing                                                   |          |
| 138      | 1,510    | 138      | 1,510    | Petition to institute a public use proceeding                              |          |
| 140      | 110      | 240      | 55       | Petition to revive - unavoidable                                           |          |
| 141      | 1,240    | 241      | 620      | Petition to revive - unintentional                                         |          |
| 142      | 1,240    | 242      | 620      | Utility issue fee (or reissue)                                             |          |
| 143      | 440      | 243      | 220      | Design issue fee                                                           |          |
| 144      | 600      | 244      | 300      | Plant issue fee                                                            |          |
| 122      | 130      | 122      | 130      | Petitions to the Commissioner                                              |          |
| 123      | 50       | 123      | 50       | Processing fee under 37 CFR § 1.17(q)                                      |          |
| 126      | 180      | 126      | 180      | Submission of Information Disclosure Statement                             |          |
| 581      | 40       | 581      | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146      | 710      | 246      | 355      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149      | 710      | 249      | 355      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179      | 710      | 279      | 355      | Request for Continued Examination (RCE)                                    |          |
| 169      | 900      | 169      | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

\$0.00

### SUBMITTED BY

|                   |                     |                                  |                   |           |                |
|-------------------|---------------------|----------------------------------|-------------------|-----------|----------------|
| Name (Print/Type) | William M. Lee, Jr. | Registration No (Attorney/Agent) | 26,935            | Telephone | (312) 368-1300 |
| Signature         |                     | Date                             | December 15, 2000 |           |                |

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|                                                                          |                      |                         |
|--------------------------------------------------------------------------|----------------------|-------------------------|
| <b>REQUEST AND CERTIFICATION<br/>UNDER<br/>35 U.S.C. 122(b)(2)(B)(i)</b> | First Named Inventor | Alan Robinson           |
|                                                                          | Title                | Optical Fiber Amplifier |
|                                                                          | Atty Docket Number   | 537-1038                |



I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12/15/00

Date

William M. Lee, Jr.  
Signature

William M. Lee, Jr.

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

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